



USAID | INDONESIA

FROM THE AMERICAN PEOPLE

Issuance Date of Original APS:	August 10, 2009
Issuance Date of this APS Amendment 2:	February 3, 2010
Deadline for Receipt of Questions for Concept Papers for Second Phase:	March 4, 2010
Deadline for Receipt of Questions for Concept Papers for Third Phase:	June 28, 2010
Closing Dates for Concept Papers:	
First Phase	September 8, 2009
Second Phase	April 30, 2010
Third Phase	August 27, 2010
Closing Time for Submission of Concept Papers:	4:00 PM, Local Jakarta time
Submit Concept Papers to:	aps09-014@usaid.gov

**SUBJECT: ANNUAL PROGRAM STATEMENT (APS) NUMBER
INDONESIA 09-014 – “SUPPORTING UNIVERSITIES
TO PARTNER ACROSS THE PACIFIC”**

Dear Applicants:

The United States Agency for International Development Mission to Indonesia (USAID/Indonesia) is seeking applications from Indonesian and U.S. institutions of higher education that support USAID/Indonesia's development strategy through partnership activities between institutions of higher education in Indonesia and the United States. The Mission will award a series of Grant Agreements or Cooperative Agreements, subject to the availability of funds, for a period not to exceed three years, as described in the attached documents.

The purpose of this Annual Program Statement (APS) is to disseminate information about the program – Supporting Universities to Partner Across the Pacific – and to provide interested parties fair opportunity to submit applications for funding. This APS describes the motivation and objectives of program activities and explains the process and criteria for evaluating applications.

This APS is issued under the authority of the Foreign Assistance Act of 1961, as amended. Awards shall be made and administered in accordance with 22 CFR 226 (US NGOs); OMB Circulars A-110 (Uniform Administrative Requirements for Cooperative Agreement and Other Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations); A-21 (Cost Principles for Educational Institutions); A-122 (Cost Principles for Non-Profit Organizations); A-133 (Audits of States, Local Governments, and Non-Profit

Organizations); USAID/OIG Guidelines for Financial Audits Contracted by Foreign Recipients; ADS 303; and USAID Standard Provisions for U.S. and Non-U.S. Nongovernmental Recipients.

Issuance of this APS does not constitute a commitment on the part of the U.S. Government to make an award nor does it commit the Government to pay for costs incurred in the preparation and submission of a Concept Paper or application. Further, the U.S. Government reserves the right to reject any or all concept papers or applications received. In addition, final award of any resultant Agreement cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures, on which condition this APS is issued.

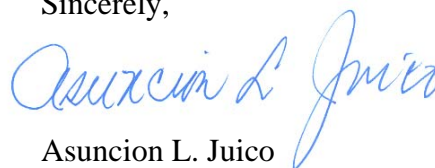
This APS and any future amendments can be downloaded from www.grants.gov. All interested parties are highly encouraged to register on www.grants.gov to receive automatic notification of amendments to this APS. It is the responsibility of the applicant to ensure that it has received all application documents from Grants.gov in its entirety and that it has submitted all required documents for its application to be considered for which USAID bears no responsibility for data errors resulting from transmission or conversion processes. Interested parties having difficulty accessing the APS should address such to aps09-014@usaid.gov.

Organizations who submitted Concept Papers in 2009 and were not selected are welcome and encouraged to revise their Concept Papers (based on the detailed advice in this announcement), and should submit a new proposal in order to be considered again.

Any questions concerning this APS shall be submitted via e-mail to aps09-014@usaid.gov **no later than March 4, 2010 for the Second Phase and June 28, 2010 for the Third Phase. No questions will be entertained after these date. The time for submission of Concept Papers is at 4:00 PM, local Jakarta time.**

At this time, no further applications are being accepted under First Phase.

Sincerely,



Asuncion L. Juico
Agreement Officer
USAID/Indonesia

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SECTION I

PROGRAM DESCRIPTION

A. BACKGROUND

USAID/Indonesia supports a broad range of development challenges in Indonesia such as sustainable management of forests, marine fisheries and energy; government that delivers; increased quality of basic education; effective health and family planning services; and increased employment. USAID welcomes new approaches for linking academic institutions to development problem solving and innovation; and therefore, increasing the quality of higher education institutions in Indonesia is one of USAID's top priorities for 2010-2014 in support of its new strategy. The United States and Indonesia are working to strengthen their comprehensive partnership where education has been identified as a top priority by both governments.

According to the Indonesian Ministry of National Education, higher education is central to the economic and political development of the country and vital to competitiveness in an increasingly globalized and knowledge-based society. With 2,800 institutions of higher education under its purview, the Ministry has embarked on an ambitious course to improve its colleges and universities as student enrollment continues to increase. Reforms are addressing areas such as academic quality assurance and relevance, university management and governance, and university financial management, which include efforts to provide opportunities for Indonesia's poorer students. USAID supports these areas of policy reform while also helping to strengthen individual institutions so they can excel within the changing environment.

There is a long history of collaboration between U.S. and Indonesian tertiary institutions. The collaboration has existed at many levels, including support for scholarships, exchange programs and research. Previous experiences clearly demonstrate the many advantages of collaboration between institutions. Thousands of Indonesians have received graduate degrees in the United States and many now hold high positions in government and business. The course offerings and syllabi of many Indonesian institutions are similar in design to those found in the United States. Many faculty members were educated in the United States or Europe. Today, the forces of globalization and international communication make the sharing of information even easier. Indonesian institutions of higher education can benefit greatly from collaborating with U.S. institutions to improve management systems, curriculum relevance, teaching methodologies, stakeholder collaboration, and staff development, especially in the research and technical fields that are critical for Indonesia's economic competitiveness and economic development.

B. OBJECTIVE

The objective of this APS is to stimulate academic collaboration in priority sectors by providing seed funding for innovative university-based partnerships that contribute to the objectives of USAID's new strategy. The efforts of this program are directed at helping to increase the capacity and contributions of Indonesian institutions of higher education to address longer term

sustainable development priorities in Indonesia. This partnership activity is the first of several components that will comprise a broader and more comprehensive USAID/Indonesia Higher Education Initiative. More information about this initiative and the rest of USAID's programming is available within the USAID/Indonesia Country Strategy 2010-2014, <http://indonesia.usaid.gov/en/Article.350.aspx>. An additional resource, "Assessment of Higher Education Institutional Capacity in Selected Geographic and Subject Areas" is available in Annex 1.

C. AREAS OF CONCENTRATION

Applicants are welcome to submit Concept Papers with regard to any area that has a well-articulated connection to the objectives of the USAID/Indonesia Country Strategy. Areas of particular interest, however, illustratively could include the following:

Cross-cutting priorities such as:

- Strengthening science and technology¹, supporting basic and applied scientific research and connections with industry groups.
- Improving public administration and management².

Sectoral priorities such as:

- Improving teaching, research, and extension services on agriculture productivity, particularly with regard to key agricultural commodities such as cocoa, coffee, and horticultural products (fruits and vegetables);
- Improving teaching and research on fisheries and climate change, and improve the applications to local government needs, such as local regulation, licensing, and zoning;
- Improving public health services and administration in clinics, labs and community outreach in the areas of health systems strengthening, reproductive and maternal child health, and infectious disease;
- Supporting effective governance through improved teaching in the areas of policy making, public management, and advocacy;
- Improving the quality of teacher training institutions;
- Improving economic research and analysis for public policy implementation; and improving economic policy environment for inclusive, rapid and sustainable economic growth.

¹ Historically, the majority of academic collaboration between institutions of higher education in the United States and in Indonesia has focused on social sciences, including anthropology, political science, and economics. Stimulating deeper collaboration in Science and Technology helps grow future generations of scientific leaders in both countries, and also deepens the scientific base of knowledge of issues that Indonesia is geographically and historically situated to lead, such as geology, marine and forest science, and climate change.

² Legal education is another important sectoral objective, which will be addressed in a separate program.

D. ILLUSTRATIVE RESULTS

The proposed university-to-university partnerships should achieve results that are concrete, tangible, and provide benefits to all partners. It is expected that these partnerships will result in clearly measurable improvements to university teaching, research, and the service/outreach capabilities of Indonesian institutions of higher education. Examples of the intended results of such institutional collaboration include, but are not limited to, the following:

- New approaches to linking academic institutions to development problem solving and innovation.
- New instructional approaches that address the needs of government or industrial clients.
- Increased participation of Indonesian students and faculty in internationally-recognized research.
- More opportunities for U.S. graduate students to conduct dissertation or post-doc research at partner institutions.
- Increased faculty exchange between partner institutions.
- Improvements to instructional methodology and curriculum.

E. INTENDED PARTNERSHIP CHARACTERISTICS

To be considered for the possible receipt of USAID funding, a proposed partnership must meet the following criteria:

1. Be aligned with the development challenges prioritized in the USAID/Indonesia Country Strategy 2010-2014;
2. Include at least one institution of higher education (such as colleges and universities) in the United States, and at least one in Indonesia with the preference for a partnership that actively involves at least one “regional” institution in Indonesia as a core partner in the partnership and proposed activities;
3. Be based on an appropriate needs assessment of the institutions which must be evidenced in the application;
4. Be based on demonstrated demand by industry or practitioner associations to employ the students graduating out of the proposed program or otherwise demand the skills and knowledge being developed;
5. Provide equitable benefits to all members of the partnership while meeting the needs of the Indonesian institution(s);
6. Achieve a significant result, beyond a sequence of activities, which must contribute toward a significant development impact and be clearly articulated in the application;
7. Mobilizes resources from non-USAID sources as cost-sharing that exceeds at least 30% of the funding requested from USAID. Non-USAID sources may include a) cost share provided by the member institutions, and b) resources from other institutions such as businesses, foundations, or non-governmental organizations; and
8. Provide convincing evidence that the programs developed and implemented with this funding will be continued and sustained beyond the term of award from USAID.

Evidence should include, but not be limited to, a plan that details how activities and funding under the award will be coupled with other endeavors and resources that contribute to the targeted development impact.

For purposes of quickly initiating this partnership program, however, the First Phase competition of this APS is limited to organizations that meet these additional criteria:

9. Preference for a United States institution being designated as the “lead” institution in the partnership;
10. Preference for institutions with the management capacity to oversee the partnership activities of multiple university partnerships;
11. Preference for institutions having demonstrated experience in the technical area being proposed; and
12. Preference for institutions having demonstrated experience implementing similar programs for USAID or similar donor agency.

For the Second and Third Phases of competition under this APS, criteria number 9 above **does not** apply, and therefore there is no preference for the lead institution to be an Indonesian or U.S. institution of higher education, as long as all other requirements (see Section III) are met.

SECTION II

APPLICATION AND SUBMISSION INFORMATION FOR CONCEPT PAPERS

A. APPLICATION PROCESS

USAID/Indonesia invites interested organizations to submit brief Concept Papers that demonstrate an innovative approach to strengthening higher education institutions in Indonesia in partnership with similar institutions in the United States. Concept Papers should identify the university partners, demonstrate the approach, and describe results that could be achieved should funding be awarded by USAID, but do not need to be in the format or detail of a full proposal. USAID intends to fund up to 10 partnerships during FY10³ with an approximate value of \$200,000 to \$650,000 each, and with a period of performance up to three years in length.

USAID/Indonesia will keep this Annual Program Statement open for a period of one year from the date of issue, and will review concept papers in phases as follows:

Deadline for Submission	
First Phase	September 8, 2009
Second Phase	April 30, 2010
Third Phase	August 27, 2010

³ For the U.S. Government, Fiscal Year 2010 runs October 1, 2009 through September 30, 2010.

Applicants interested in being considered for funding during First Phase, Second Phase, and Second Phase should submit Concept Papers **via e-mail to aps09-014@usaid.gov, as follows:**

First Phase	-	September 8, 2009
Second Phase	-	April 30, 2010
Third Phase.	-	August 27, 2010

Successful applicants will be notified in writing if USAID will request them to expand the Concept Paper into a full proposal application. Details of the requirements for a full cost and technical proposal will be provided to such successful applicants at such time. Applicants should not prepare full proposals unless specifically requested to do so by USAID/Indonesia's Office of Procurement.

B. APPLICATION REQUIREMENTS

Concept Papers must be written in English and typed on standard 8 1/2" x 11" (216mm by 297mm paper), single space, 12 point font with each page numbered consecutively. The Concept Paper should include three sections and should not exceed ten (10) total pages. The cover page is not included in this page limitation. Concept Papers are to be presented in the following format:

- a. Cover Page. The cover page should identify the names of all organizations in the proposed partnership with the lead or primary applicant clearly identified.
- b. Technical Narrative. A narrative of no more than nine (9) pages should outline the following:
 - Goals – Describe the goals of the partnership.
 - Problem Definition – Define the problem(s) and provide an analysis of the development context. Demonstrate and provide adequate evidence that there is a clear demand (not just a perceived need) beyond the higher education institutions for the proposed programs and services.
 - Institutional Needs Assessment – Demonstrate adequate assessment of the needs of the Indonesian higher education institutions, and clearly describe those needs.
 - Technical Quality – Describe the technical approach to be used to achieve the goals of the partnership, types of activities, and general sequencing. Demonstrate how the proposed partnership benefits all members, and explain how or why the proposed approach will be more successful or effective than other development approaches.
 - Sustainability – Describe how the university-to-university relationship can be sustained beyond the term of the award.

- Beneficiaries – Describe the proposed scale of the activities, estimated numbers and types of beneficiaries, and geographic spread.
 - Collaboration – Demonstrate how the partners have worked together in formulating the proposed activities and how the proposed partnership will benefit all members.
 - Expected Results and Projected Impact - Outline the expected results and the mechanisms proposed to measure progress, achievement and sustainability. Demonstrate how these results will contribute to resolving the development problem and achieving development impact.
 - Partners Profile – Provide a profile of the institutions involved in the proposed partnership, with a brief description of their operating history and management structure. Clarify any past experience between the partners and describe the division of responsibilities in the proposed partnership.
 - Administrative Capabilities - Describe technical and administrative experience and capabilities, including a description of any related past performance and implementation of similar programs.
- c. Budget. Provide a one-page budget that clearly identifies the major costs line items, such as personnel, travel, training; and presents the amount and nature of cost-sharing and other resources leveraged.

C. TECHNICAL EVALUATION CRITERIA FOR CONCEPT PAPERS

USAID/Indonesia has established an Annual Program Statement (APS) Committee to review and evaluate all Concept Papers received. Only those Concept Papers which meet the initial consideration criteria outlined at Section I.E, Intended Partnership Characteristics, will be considered and evaluated by the APS Committee.

The Concept Papers will be competitively evaluated against the following criteria in descending order of importance:

1. Technical quality and innovation of the concept paper, including the relevance and clarity of the objectives and goals, the degree to which the program is based upon a sound needs assessment, the appropriateness of the proposed activities to achieving the goals and objectives of the program, the sustainability of the programs and endeavors created via the partnership, and the ways in which the program is designed to achieve results and foster development impact. **(35 points)**
2. Scope and significance of the results to be achieved, in the short, medium, and long term, including the apparent value of the results in fostering development impact, and the level of results to be achieved relative to the overall resource commitments. **(20 points)**

3. Technical and administrative capacity to manage proposed program. **(20 points)**
4. Level of non-USAID resources mobilized, level of institutional commitment of partners (as evidenced by cost share and other indicators), and the clarity of budget allocations and how they relate to program implementation. **(15 points)**
5. Demonstrated experience and track record of the applicants in the proposed area of work. **(10 points)**

TOTAL

100 points

SECTION III

FULL APPLICATION SUBMISSION AND INFORMATION

NOTE: Applicants should not prepare full applications unless specifically requested to do so by the USAID/Indonesia Agreement Officer

A. INSTRUCTIONS AND SUBMISSION PROCEDURES

Applications shall be submitted in two separate volumes: (a) technical and (b) cost or business application. Technical applications should be submitted in an original and three (3) copies and cost applications in an original and two (2) copies to Mr. Dominicus Soenarno, Contracts Specialist at the following addresses:

Via E-mail

aps09-014@usaid.gov

Hand-carried or Courier

U.S. Agency for International Development
Office of Procurement
American Embassy/Jakarta
Jalan Merdeka Selatan No. 3-5
Jakarta 10110, Indonesia

Faxed applications will not be considered.

Applicants should retain for their records one copy of the application and all enclosures which accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of applications, USAID will consider only applications conforming to the format prescribed below.

In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

- (a) Unnecessarily Elaborate Applications - Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this APS are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.
- (b) Acknowledgement of Amendment(s) to the APS shall be submitted together with the application.
- (c) Applicants are expected to review, understand, and comply with all aspects of this APS including attachments. Failure to do so will be at the applicant's risk.

(d) Each applicant shall furnish the information required by this APS. The applicant shall sign the application and print or type the name and title clearly on the Cover Page of the technical and cost applications. Applications signed by an agent shall be accompanied by evidence of that agent's authority.

(e) Applicants must ensure that all the certifications are completed and signed (See Section D of the APS). In the submissions, the applicants must include as necessary any additional evidence of responsibility deemed necessary for the Agreement Officer to make a determination of responsibility in accordance with ADS E303.3.9 at the following website:

<http://www.usaid.gov/policy/ads/300/303.pdf>

(f) Applicants who include data they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

(1) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a Cooperative Agreement is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting Cooperative Agreement. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction."

(2) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

Applications received by the deadline will be reviewed for responsiveness to the requirements outlined in these guidelines and will be evaluated by a USAID's Technical Evaluation Committee (TEC). Additional discussions with applicants may take place if the applications submitted do not adequately describe the activities to be funded and/or there is one or more points to be clarified or modified based on the recommendations of the TEC.

Oral explanations or instructions given before award of a Cooperative Agreement will not be binding. Any information given to a prospective applicant concerning this APS will be furnished promptly to all other prospective applicants as an amendment of this APS, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

A.1 Specific format:

Full Applications are limited to no more than 25 pages in length (not to include Cover Page) and typed on standard 8-1/2" x 11" (216mm x 297mm paper) single space, 12 point font with each page numbered consecutively. The cover page is not included in this page limitation.

(a) **Technical Applications** should be kept as concise and succinct as possible. Technical Applications submitted should be in the following format:

(1) Cover Page (separate page, not more than one (1) page): The Cover Page should include the APS Number, names of the institutions involved (with the name of the lead or primary Applicant clearly identified), title of the application. Any proposed subgrantees should also be listed. In addition, the Cover Page should provide a contact person for the primary Applicant, including the individual's name, title or position with the institution, mailing address, e-mail address, telephone and fax numbers. Applicants should also clearly state whether the identified contact person has the authority to negotiate on behalf of the Applicant, and if not, the contact information for the appropriate person with authority to negotiate should also be listed.

(2) Executive Summary (not more than one (1) page): A summary of the key elements of the Applicant's Technical Application, including but not limited to the Technical Strategy and Approach, and provide NO COST FIGURES other than the Total Amount of USAID funds requested.

(3) Technical Narrative (not more than 22 pages in length excluding any attachment pages as specified within this APS) with sub-sections on:

Program Description

- i. Goal and Objectives
- ii. Proposed Outcomes
- iii. Context Analysis
- iv. Technical Approach
- v. Expected Impact

The technical narrative will be evaluated in accordance with the evaluation criteria set forth in Section III.C. Each should be addressed in order.

(4) Management Plan (2 pages): The management plan should include the proposed management structure, key personnel, any partnership arrangements, contingency plans and an Implementation Schedule (including milestones).

Required Key Personnel:

USAID requires applicants to identify a Project Director, who will be designated as Key Personnel, and must meet the qualifications given below. The Applicant may propose one additional Key Personnel. In an annex to the full Technical Proposal, the Applicant shall include a brief biographical sketch for each candidate proposed for a Key Personnel position, and include a summary position description for each. The balance of the staffing and management structure should be proposed by the Applicant and will be evaluated by USAID as per the technical evaluation criteria.

Responsibilities (Project Director): Responsible for the quality and effectiveness of the technical and academic collaboration; primary communication about program impacts; performance of award, including ensuring quality and compliance with the requirements of award; external representation and coordination with USAID, other donors and other

programs; while also contributing to technical guidance of the programs and offering technical input to the institutional partners where appropriate.

Qualifications (Project Director): Must be staff of the lead institution; have an advanced degree in a relevant field; have experience managing similar programs funded by an international donor (including program development, reporting and representational responsibilities); have demonstrated technical expertise in subject matter; and have fluency in written and spoken English.

(5) **Past Performance**

Lead applicants are requested to list all contracts, grants, or cooperative agreements involving similar or related programs conducted by the lead applicant (or other partners) over the past three years. Reference information should include the contact information for an official point of contact, award or contract numbers, and a brief description for the work performed by the applicant.

(6) **Annexes**

(i) **Institutional Capabilities, Responsibility and Past Performance (of applicant and key partner institutions):** For purposes of past performance evaluation, Applicants shall furnish award numbers and other details with contact information, for two or three projects funded over the past three (3) years by USAID, or any other government entity, or third-party source. The details shall include the following: name of the organization or agency which funded the programs; award number; point of contact's name, mailing address, email address and phone number; and the overall dollar value of the program.

(ii) **Key Personnel:** Applicants are to submit CVs of key personnel only in an Annex to the full application. Reference information for all candidates should be included. The Government retains the right to contact employment references for all key personnel (including those not provided by the Applicant), and to use this information in the rating of personnel proposed.

(iii) **Performance Monitoring Plan:** Applicants are to submit a proposed Performance Monitoring Plan (PMP) to track the progress in activities and achievement of results over the life of the proposed activities. The proposed PMP will be used as a starting point of negotiation with USAID if an award is made. The draft PMP must include periodic (semi-annual), annual, and end-of-program indicators and targets to measure the progress of the proposed activities and the achievement of results. The end-of-program indicators must be quantified in the performance monitoring plan. The final Performance Monitoring Plan will be approved within 75 days after award.

(b) **Financial Plan.** There is no page limitation on the Financial Application. The financial plan shall be submitted as an excel spreadsheet. The application should include the following:

- (1) **Standard Forms:** Applicants must complete and submit the following required forms:
 - (a) SF 424 Application for Federal Assistance, (b) SF 424A Budget Information – Non-Construction Program and (c) SF 424B, Assurances – Non-Construction Programs. The forms may be downloaded from USAID's website:

http://www.usaid.gov/procurement_bus_opp/procurement/forms/SF-424/

- (2) The financial plan (budget) should be fully supported by adequate cost data to establish the reasonableness of proposed program costs. At a minimum, the financial plan shall contain the following: (i) a summary budget page of total costs; (ii) a detailed budget of cost inputs; and (iii) detailed budget notes (narratives) and supporting justification of all proposed budget line items.
- (3) Cost-Sharing. Specific budget details and narrative information, in addition to the percentage and total dollar amount of the proposed cost-share contribution.
- (4) Negotiated Indirect Cost Rate Agreement (NICRA): Applicants must provide a copy of the most recent indirect cost rate agreement negotiated with your organization's cognizant U.S. Government agency.

Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant government agency shall also submit the following information:

- a. Copies of the Applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
- b. Projected budget, cash flow and organizational chart;

Applicants that have never received a grant, cooperative agreement, or contract from the U.S. Government are required to submit a copy of their accounting manual.

B. PROGRAM REQUIREMENTS: The following program requirements must be addressed fully when submitting an application:

B.1 GENDER

Given the critical role of women in development, it is essential that institutions competing for an award demonstrate knowledge and capacity to address gender-based constraints. Based on the different needs and roles of men and women, strategies for addressing these needs and for ensuring women's full participation in all proposed activities must be part of the methodology/proposed approach. In addition to explicitly addressing women's needs and participation, the proposed methodology/approach shall also address: (a) how will gender relations affect the achievement of sustainable results; and (b) how will proposed activities affect the relative status of men and women. Furthermore, the program strategy shall demonstrate how activities will be monitored, tracked and evaluated to measure the impact on women and on gender relations. All people-level results and indicators must be disaggregated by sex.

B.2 COST SHARING

Some cost sharing and/or leveraging must be proposed where technical/programmatic benefits would result. At least 30% of overall grant application funding is to be supported by non-USAID funding. Applications that incorporate larger cost sharing/leveraging will be considered

more responsive to this APS and more positively evaluated (see Section III.C. Evaluation Criteria below). Cost sharing includes contributions, both cash and in-kind, which are necessary and reasonable to achieve program objectives and which are verifiable from the recipient's records. Cost sharing contributions may include volunteer services provided by professional and technical personnel and un-recovered indirect costs. Additional information may be found in 22CFR226.23 "Cost sharing and matching" and the USAID Automated Directives System (ADS) 303.3.10; both documents are available online at:

<http://www.usaid.gov/business/regulations/>.

B.3 ENVIRONMENTAL PROTECTION AND COMPLIANCE

All projects funded by USAID must conform to U.S. environmental regulations (22 CFR216) requiring evaluation to ensure that any environmental impacts resulting from the project implementation are mitigated. Through development of the Initial Environmental Examination (IEE), 22 CFR 216 or "Reg.216," ensures that environmental (i.e., natural resource or public health) impacts of USAID-funded activities are identified and mitigation measures are proposed at the design stage, prior to the irreversible obligation of USAID funds. Subsequently, over the Life of the Activity (LOA), these environmental mitigation measures are to be a standard component of program management.

B.4 MARKING AND BRANDING

Based on ADS 320.3.3 and 22 CFR 226.91, the Applicant shall prepare a Branding Strategy and Marking Plan for this APS. Branding and marking under this Cooperative Agreement will be carried out in accordance with AAPD 05-11

http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd05_11.pdf.

C. TECHNICAL EVALUATION CRITERIA FOR FULL APPLICATIONS

The Technical Applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below.

1. Technical Quality of the Application (45 points)

- a. Application demonstrates understanding of the challenges facing the Indonesian partner institutions, the capacity development needs of those institutions, and the role those institutions can have in addressing the development challenges targeted in the USAID/Indonesia Country Strategy;
- b. Application demonstrates and is responsive to the demand expressed by external stakeholders for the proposed programs. Application should provide evidence of demand, including the commitment of industry or practitioner associations to employ the students graduating out of the proposed program or otherwise benefit from the skills and knowledge being developed;
- c. Application demonstrates how the proposed activities will effectively address the challenges facing the Indonesian partner institutions, satisfy external stakeholder

- demand, and achieve significant development result(s) within the level of funding and time period being proposed;
- d. Application provides concrete examples of how the programs implemented and/or developed under the partnership will be continued and sustained after USG funding; and
 - e. Application demonstrates the institution's capability to implement and monitor activities, and provides an illustrative performance monitoring plan that provides quantifiable measurement of progress of activities and their results.

2. Organizational Capability (20 points)

The application must provide evidence of the partners' technical resources, expertise, and capabilities for implementing the proposed program.

- a. Proposed management structure for the partnership is articulated and feasible;
- b. Application demonstrates the advantages of all the organizations for developing and implementing the proposed program (why are they the right organizations?);
- c. Technical capabilities of the lead organization are adequately demonstrated in the application, and adequate evidence is provided about relevant organizational history, and past accomplishments from developing, implementing, and monitoring programs of similar type, scale, or complexity; and
- d. Lead applicant has demonstrated capacity to manage the administrative aspects of the partnership, including financial controls and visa/travel administration.

3. Personnel (15 points)

The proposed Key Personnel will be evaluated on their ability to implement the program and relevant qualifications.

- a. The proposed staffing plan and proposed personnel in both Indonesia and United States are complementary and appropriate for the proposed activities;
- a. Application proposes Key Personnel who must have:
 - i. sufficient technical leadership experience to lead the development and implementation of the proposed program, including appropriate academic credentials and experience with effective program monitoring and evaluation techniques; and
 - ii. adequate experience to oversee the administrative, contracting, financial, and logistical aspects of the proposed program;

4. Cost sharing and resource leverage (15 points)

- a. Resources mobilized. Application demonstrates additional resources from non-USAID sources that exceeds 30% of the resources being requested from USAID. Non-USAID resources may include cost sharing from the partner institutions; and additional resources from other partners that are not institutions of higher education, such as businesses, foundations, and non-governmental organizations. Preference will be given to resource mobilization that helps ensure the sustainability and expanded impact of the partnership and results achieved.
- b. Appropriateness and clarity of budget. The extent to which the proposed budget is appropriate for the planned activities and results, and the proposed partnership can be achieved within the financial budget and time limits being proposed.

5. Past Performance

(5 points)

USAID will evaluate past performance on evidence of past achievement of successful results in the technical areas being proposed, as well as demonstrated experience in program monitoring and evaluation, timeliness, budgeting, and financial reporting.

- a. USAID's evaluation will focus on the applicant's record of conforming to contract/agreement requirements and to standards of good workmanship, record of forecasting and controlling costs, adherence to schedules, history of reasonable and cooperative behavior, commitment to customer satisfaction, business-like concern for the interest of the customer, and the competency of the personnel who worked on the contract/agreement.
- b. In cases where an applicant lacks relevant past performance experience or in which the information is not available, it will be at the discretion of the Agreement Officer to give a neutral rating.

USAID will evaluate the Technical Application and Financial Application separately (see Section A.1(b) above). Once the review of Technical Applications is complete, USAID will independently evaluate Financial Applications and cost-effectiveness and efficiency of the applicant's approach. The realism of budget estimates for proposed activities, the degree to which the budget allocation results in optimal use of program funds, and the cost reasonableness to implement proposed program activities will all be considered in determining the best value to the U.S. Government.

D. RESPONSIBILITY DETERMINATION. Applicants shall to submit any additional evidence of responsibility deemed necessary for the Agreement Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

- a. Has adequate financial, management and personnel resources and systems, or the ability to obtain such resources as required during the performance of the award;
- b. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the Applicant, nongovernmental and governmental.
- c. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinary sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
- d. Has a satisfactory record of integrity and business ethics; and
- e. Is otherwise qualified and eligible to receive an award under applicable laws and regulations (e.g. EEO).

An award will be made only when the Agreement Officer has made a positive determination that the Applicant possesses, or has the ability to obtain, the necessary management competence in planning and carrying out the assistance program and that it will practice mutually agreed upon methods of accountability for funds and other assets provided by USAID. For the organizations which have had no prior or few USAID awards, or organizations with outstanding audit findings, it may be necessary to perform a pre-award survey prior to Agreement Officer making this determination or establishing conditions under the award.

E. PRE-AWARD SURVEYS (GRANT WORTHINESS ASSESSMENT)

The Agreement Officer or the survey team's responsibility is to ensure that a recipient has the necessary organization, experience, accounting and operational controls, and technical skills, or the ability to obtain them, in order to achieve the objectives of the program.

(1) For a U.S. organization, the Agreement Officer applies the standards in 22 CFR 226, 22, to include CFR 226.20 (Financial and Program Management), 22 CFR 226.30 – 226.37 (Property Standards), 22 CFR 226.40 – 226.49 (Procurement Standards), and 22 CFR 226.50 – 226.53 (Reports and Records).

To establish whether the potential recipient is responsible, the Agreement Officer or a representative must conduct a detailed analysis of the applicant's systems that addresses whether–

- its accounting, recordkeeping, and overall financial management systems meet the applicable standards in 22 CFR 226;
- the applicant's system of internal controls, including segregation of duties, handling of cash, contracting procedures, personnel and travel policies, is reasonable and in accordance with the applicable cost principles;
- the applicant's property management system, if applicable, meets the property standards in 22 CFR 226;
- the applicant meets the responsibilities in OMB Circular A-133 for the administration and monitoring of subawards; and
- the applicant's procurement system, if procurement is significant to the award, meets the standards set forth in 22 CFR 226.

(2) For a non-U.S. applicant, although 22 CFR 226 does not directly apply, the Agreement Officer must use the standards of 22 CFR 226 in determining whether a potential non-U.S. recipient is responsible.

F. MANDATORY REQUIREMENTS

F.1 Executive Order on Terrorism Financing (FEB 2002)

The Contractor/Recipient is reminded that U.S. Executive Orders and U.S. law prohibits transactions with, and the provision of resources and support to, individuals and organizations associated with terrorism. It is the responsibility of the contractor/Recipient to ensure compliance with these Executive Orders and laws. This provision must be included in all subcontracts/subawards issued under this contract/agreement.

F.2 Foreign Government Delegations to International Conferences (JAN 2002)

Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as

provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences" or as approved by the AO.

F.3 USAID Disability Policy (DEC 2004)

(a) The objectives of the USAID Disability Policy are (1) to enhance the attainment of United States foreign assistance program goals by promoting the participation and equalization of opportunities of individuals with disabilities in USAID policy, country and sector strategies, activity designs and implementation; (2) to increase awareness of issues of people with disabilities both within USAID programs and in host countries; (3) to engage other U.S. government agencies, host country counterparts, governments, implementing organizations and other donors in fostering a climate of nondiscrimination against people with disabilities; and (4) to support international advocacy for people with disabilities. The full text of the policy paper can be found at the following website: http://www.usaid.gov/about_usaid/disability/.

(b) USAID therefore requires that the Recipient not discriminate against people with disabilities in the implementation of USAID funded programs and that it make every effort to comply with the objectives of the USAID Disability Policy in performing the program under this grant or cooperative agreement. To that end and to the extent it can accomplish this goal within the scope of the program objectives, the Recipient should demonstrate a comprehensive and consistent approach for including men, women and children with disabilities.

G. APPLICABLE REGULATIONS AND REFERENCES

Standard Provisions will be provided in full text, as applicable, in the resultant agreement.

- Mandatory Standard Provisions for U.S., Nongovernmental Recipients
<http://www.usaid.gov/pubs/ads/300/303maa.pdf>
- Mandatory Standard Provisions for Non U.S. Nongovernmental Recipients
<http://www.usaid.gov/policy/ads/300/303mab.pdf>
- 22 CFR 226 USAID Assistance Regulations
http://www.access.gpo.gov/nara/cfr/waisidx_02/22cfr226_02.html
- 22 CFR 228 USAID Source, Origin, Nationality Regulations
http://www.access.gpo.gov/nara/cfr/waisidx_01/22cfr228_01.html
- ADS Series 303 Acquisition and Assistance
<http://www.usaid.gov/policy/ads/300/303.pdf>
- AAPD 02-10 Cost Sharing in Grants and Cooperative Agreements to NGOs
http://www.usaid.gov/business/business_opportunities/cib/pdf/aapd02_10.pdf
- SF 424, SF 424A, SF 424B http://www.whitehouse.gov/omb/s/s_forms.html

ANNEX 1

ASSESSMENT OF HIGHER EDUCATION INSTITUTIONAL CAPACITY IN SELECTED GEOGRAPHIC AND SUBJECT AREAS

(Available under separate cover/folder)